

(Rev. 6/212013)

**Streamlined  
Request for Qualifications**  
(Electronic Submission Required)

State Environmental Study &  
Preconstruction Engineering Services

for

Project No.S-0006(154)256  
US-6; SB Passing Lanes between MP 256-300

October 7, 2013

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

**Summary Sheet**

Please direct all questions regarding Utah Department of Transportation's (UDOT) Streamlined Request for Qualifications (RFQ) and the selection process to the UDOT Contract Administrator and all questions concerning the project to the Project Manager contact.

1. **Project Number:** S-0006(154)256
2. **Location:** US-6; SB Passing Lanes Between MP 256-300
3. **ePM PIN No.:** 10786
4. **Requested Services:** State Environmental Study  
Preconstruction Engineering Services
5. **Source(s) of Funding:** State Funds
6. **UDOT Contract Administrator:** Devon Tonks  
Contract Administrator  
Utah Department of Transportation  
Consultant Services  
Box 148490  
4501 South 2700 West  
Salt Lake City, Utah 84129-5998  
801/965-4184  
[dtonks@utah.gov](mailto:dtonks@utah.gov)
7. **UDOT Project Management:** Clayton Wilson  
Project Manager  
Utah Department of Transportation  
Region Four  
210 West 800 South  
Richfield, Utah  
435/201-2215  
[claytonwilson@utah.gov](mailto:claytonwilson@utah.gov)
9. **Streamlined Statement of Qualifications (Streamlined SOQ) Deadline:**  
**See the Selection Schedule on Page 3**

Submit one electronic PDF file of the Streamlined SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*) to Devon Tonks by email at [dtonks@utah.gov](mailto:dtonks@utah.gov) prior to 11:00 AM on the submission date found in the Selection Schedule on Page 3. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

**Streamlined SOQs will not be accepted after the 11:00 AM deadline**

10. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 19. Refer to Page 6 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 24.
11. **Type of Streamlined SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*, see Page 11.
- If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the Consultant Services update service.
12. **Optional Oral Interviews:** Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 3 for potential interview date.**
13. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.
14. **Project Completion:** Approximately **twelve (12)** months from Notice to Proceed.
15. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

**Consultant Selection Schedule**

| <b>Date</b>     | <b>Day</b>    | <b>Action</b>                                                                        |
|-----------------|---------------|--------------------------------------------------------------------------------------|
| 10/7/13         | Monday        | Posting of Streamlined RFQ on UDOT Consultant Services Project Advertisement website |
| <b>10/21/13</b> | <b>Monday</b> | <b>Streamlined SOQs are due electronically by 11:00 AM.</b>                          |
| 10/28/13        | Monday        | Streamlined RFQ Selection Team Meeting                                               |
| 11/4/13         | Monday        | Consultant Selection Interviews                                                      |
| 11/4/13         | Monday        | Consultant Selection                                                                 |
| 11/12/13        | Tuesday       | Mandatory Pre-Negotiation Meeting with Selected Consultant                           |

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

**Table of Contents**

|                                                                                           |           |
|-------------------------------------------------------------------------------------------|-----------|
| Title Sheet .....                                                                         | 1         |
| Summary Sheet .....                                                                       | 2         |
| Consultant Selection Schedule .....                                                       | 3         |
| Table of Contents .....                                                                   | 4         |
| Overview .....                                                                            | 6         |
| Project Dates .....                                                                       | 6         |
| Required Percentage of Work for Prime Consultant .....                                    | 6         |
| Required Completion and Acceptance Criteria .....                                         | 6         |
| Applicable Federal and State Regulations .....                                            | 6         |
| Debarment Certification .....                                                             | 7         |
| Authorization to Begin Work .....                                                         | 7         |
| Required Key Personnel Qualification .....                                                | 7         |
| Required Availability of Key Personnel .....                                              | 7         |
| Required Streamlined SOQ Contents .....                                                   | 7         |
| Streamlined SOQ Evaluation Procedures .....                                               | 7         |
| Conditions of Proposal .....                                                              | 8         |
| Disposition of Streamlined SOQs .....                                                     | 8         |
| Ownership of Documents .....                                                              | 8         |
| Financial Screening .....                                                                 | 8         |
| Audits .....                                                                              | 8         |
| Insurance Certificates .....                                                              | 9         |
| Health Reform – Health Insurance Coverage in State Contracts Requirements .....           | 9         |
| Subscription to the UDOT Consultant Services Update Service .....                         | 9         |
| Consultant and/or Corporate Logos or Branding .....                                       | 9         |
| Conflict of Interest .....                                                                | 10        |
| <b>Appendix A: Guidelines for Preparing Streamlined Statement of Qualifications .....</b> | <b>11</b> |
| • Introduction .....                                                                      | 11        |
| • Electronic Submission .....                                                             | 11        |
| • Streamlined SOQ Sections .....                                                          | 11        |
| • Streamlined SOQ Evaluation Criteria .....                                               | 11        |
| • <b>Streamlined SOQ Format Requirements .....</b>                                        | <b>14</b> |
| ○ <b>Criteria for Point Deductions and Disqualification</b> .....                         |           |
| • Streamlined RFQ Selection Team .....                                                    | 16        |

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

|                                        |    |
|----------------------------------------|----|
| • Selection Interviews .....           | 16 |
| • “Selecting by Consent” Process ..... | 17 |
| • Summary.....                         | 17 |

**Appendix B:** *Proposed Key Personnel to Be Used on UDOT Project*

The Form and an example of the completed form, along with further descriptions of the column headings are available at [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms) ..... 18

**Appendix C:** *Scope of Work*

|                                           |    |
|-------------------------------------------|----|
| • Scope of Work (Objectives & Tasks)..... | 19 |
|-------------------------------------------|----|

**Appendix D:** *Additional Information*

|                                 |    |
|---------------------------------|----|
| • QC/QA Plan Requirements ..... | 22 |
| • UDOT Reference Items.....     | 22 |
| • Brooks Act of 1972.....       | 24 |

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 17).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 24. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

**DO NOT** include any reference to Consultant costs in the Streamlined SOQ. Any Streamlined SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates:

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 3. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant:

The Consultant must perform work valued at not less than **60%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items that are not usually furnished by a Consultant performing the particular type of service requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria:

Progress payments will be made for work in progress. Final invoice payment, shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

Applicable Federal and State Regulations:

The Consultant shall conform to all applicable state and federal regulations.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

Debarment Certification:

Federal regulations require certification by prospective participants (including contractors, subcontractors, and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work:

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualification:

The Consultant shall be responsible to ensure all personnel proposed under this Streamlined RFQ are qualified through training, experience, and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard practices.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to Be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the Streamlined SOQ but will not count as one of the allowed pages.**

UDOT's requirement for listing current or former UDOT employees as key personnel in Streamlined SOQs is as follows:

- If a firm lists a former UDOT employee on the Streamlined SOQ who officially left UDOT employment prior to the submission date of the Streamlined SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel:

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* Form, the Consultant is agreeing to make the personnel available to complete work on the contract at whatever level the project requires.

Required Streamlined SOQ Contents:

The Streamlined SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

Streamlined SOQ Evaluation Procedures:

The RFQ Selection Team will evaluate the Streamlined SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Streamlined Statement of Qualifications*.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

Conditions of Proposal:

All costs related to the preparation of the Streamlined SOQ and any related activities such as interviews are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Streamlined SOQs:

Streamlined SOQs and their content become the property of UDOT and are treated as protected documents and are disposed of according to UDOT policies. UDOT reserves the right to reject all Streamlined SOQs. The Streamlined SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Streamlined SOQs of Consultants who are not awarded contracts shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the Streamlined SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the Streamlined SOQ will be disclosed and that, unless the Consultant withdraws the Streamlined SOQ, it will be disclosed. If the Consultant withdraws their Streamlined SOQ, the Consultant will not be awarded the contract.

Ownership of Documents:

All tracings, plans, manuscripts, specifications, data, maps, etc. prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of UDOT.

Financial Screening:

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable,



**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

and the selected Consultant has adequate accounting practices to ensure accurate tracking of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Streamlined SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates:

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Current insurance requirements can be found at [www.udot.utah.gov/go/csmanuals](http://www.udot.utah.gov/go/csmanuals).

Health Reform – Health Insurance Coverage in State Contracts Requirements:

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining a Streamlined SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service:

UDOT recommends Consultants interested in proposing a Streamlined SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT Web site [www.udot.utah.gov/go/subscriptionlist](http://www.udot.utah.gov/go/subscriptionlist).

**If there are any changes affecting the Streamlined RFQ, notice will be sent out via an e-mail through the update service.**

Consultant and/or Corporate Logos or Branding:

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. This requirement does not apply to Streamlined SOQs. For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or [ghettrick@utah.gov](mailto:ghettrick@utah.gov).

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

Consultants and/or corporations are specifically restricted from placing logos or branding on the following items:

- Plan Sheets or Title Blocks
- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers; and
- Information and Display Boards for Public Meetings

Consultants are encouraged to place their company logos or brandings in their Streamlined SOQs.

Conflict of Interest:

UDOT has determined there is an appearance of a Conflict of Interest when a Consultant performs both design and construction engineering management on the same project. Therefore, Consultants will not be eligible to participate as part of the Construction Engineering Management Team for this project if they performed design services. Refer to the "Design and CEM by Same Consultant" notice placed on the website at [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

## **Appendix A**

### **Guidelines for Preparing Streamlined Statement of Qualifications**

#### **Introduction:**

These guidelines were developed to standardize the preparation of a Streamlined SOQ by Consultants for engineering services on a UDOT project. Submitting a Streamlined SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to ensure consistency in format and content in the Streamlined SOQ prepared by Consultants and submitted to UDOT. Preparing a Streamlined SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

#### **Electronic Submission:**

UDOT's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Streamlined SOQ submission to be received solely by electronic means.

#### **Streamlined SOQ Sections:**

**The Streamlined SOQ should contain the following sections in the order listed:**

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

#### **Streamlined SOQ Evaluation Criteria:**

The Streamlined SOQ evaluation criteria are listed below in red.

1. **Cover Page**

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

| Cover Page                     |  |
|--------------------------------|--|
| Date                           |  |
| RFQ Name and Description       |  |
| Prime Firm                     |  |
| Prime Firm's Federal ID#       |  |
| Sub-consultants (if any)       |  |
| Primary Contact                |  |
| Primary Contact Name (Prime)   |  |
| Address                        |  |
|                                |  |
| City, State, Zip               |  |
| Email                          |  |
| Office Phone                   |  |
| Cell Phone                     |  |
| Secondary Contact              |  |
| Secondary Contact Name (Prime) |  |
| Address                        |  |
|                                |  |
| City, State, Zip               |  |
| Email                          |  |
| Office Phone                   |  |
| Cell Phone                     |  |
| Signature Block                |  |
| Name                           |  |
| Title                          |  |
| Signature                      |  |

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. If there is any other information provided in the Cover Page, the Cover Page will be stripped from the SOQ and will not be provided to the RFQ Selection Team. **In addition, a one-point deduction will be assessed if the Cover Page includes additional information.**

**No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.**

2. **Project Team** – The RFQ Selection Team will evaluate how well the qualifications and experience of the proposed project team members relate to the specific project. The RFQ Selection Team recommends the following information be provided.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

- Project team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT Web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms)).
- Describe the qualifications, experience, and availability of key personnel on your project team. (NOTE: Do not include percentages of availability as this may be misinterpreted as a reference to cost.)
- Provide a spreadsheet list of projects **completed** by key team members during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).) Note: Columns may be combined in order to meet the font size and margin requirements under *Streamlined SOQ Format Requirements* on Page 14.
  - Name of Project Manager
  - Year
  - Type of Project
  - Project Name
  - Project Location
  - Project Description
  - Construction Estimate Cost - \$Million
  - Services Performed / Specific Project Role
  - Client
  - Reference Contact and Telephone Number

A maximum of 40 points is available for this section.

3. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.
- Describe your firm's capability to perform the work.
  - Describe any unique qualifications your firm has to perform this type of work.
  - Describe your firm's internal quality and cost control procedures.
  - Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*
  - Describe the overall performance record of the proposed project team firms.
  - Provide an analysis of the project team firms' current workload

A maximum of 35 points is available for this section.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

4. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts.
- Briefly describe the course of action proposed to meet the needs, goals or objectives of the project.
  - Identify key project milestones.
  - Identify potential impacts, impediments, conflicts or potential mitigation.

A maximum of 25 points is available for this section.

5. **Appendix B Proposed Key Personnel to be Used on UDOT Project** -- The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be used on UDOT Project* (see example in this RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

**The completed form must be included in the SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.**

Streamlined SOQ Format Requirements:

It is very important that SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the Streamlined SOQ.

**One-point penalty deductions:**

1. **Color is Allowed.**
2. **8½ x 11 Size Paper Only** – If there are exceptions to this requirement, they are addressed below in the list of Disqualifications.
3. **One-inch (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within margin.
4. **Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

magnification in order to understand what is being presented. The minimum line spacing is 12-point.

5. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
6. **Page Headers/Footers** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
7. **Cover Page** – Is required as the first page of the PDF, but does not count towards the page maximum. The Cover Page must be on the Prime Consultant's letterhead and is limited to the instructions provided. The Cover Page may be presented in any format the Consultant chooses, i.e. text, chart, etc. The Cover Page must meet the font requirement above. No additional informational information is allowed. No additional back page is allowed.
8. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The completed form is required and will not count towards the page maximum.

**A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum eight-point penalty per Streamlined SOQ.**

**Two-point penalty deductions:**

9. **Do not send SOQs to RFQ Selection Team Members** – send SOQs to the contract administrator, not directly to any RFQ Selection Team members, see instructions on Page 2.

**Two-point penalties will be assessed by Consultant Services for violation of the above format requirement(s).**

**Disqualifications:**

10. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
11. **Electronic PDF Submission** – Submit one PDF file (containing all of the SOQ sections in the order presented in Streamlined SOQ Sections on Page 11) to Devon Tonks at [dtonks@utah.gov](mailto:dtonks@utah.gov).
12. **Cost Discussion** – Do not include any reference to costs in the Streamlined SOQ. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.
13. **Use of UDOT staff** – Use of current UDOT employees or former staff who were involved in the development of the Streamlined RFQ. Refer to Required Key Personnel Qualification on Page 7 for more information.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

14. **Financial Screening** – Consultants are required to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 8 for further details.
15. **Four (4) Page Maximum** – (Cover Page and Appendix B *Proposed Key Personnel to be Used on UDOT Project* do not count towards the page maximum.)

A page is defined as a single-sided 8.5" x 11" sized sheet that contains text, pictures, tables, graphs, charts, plan sheets, or any other graphics.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

16. **Other** – UDOT reserves the right to disqualify a Streamlined SOQ when the intent of the Streamlined RFQ process is violated.

**Any Streamlined SOQs committing violations to the above format requirements will be disqualified by Consultant Services and will not be reviewed by the RFQ Selection Team.**

Streamlined RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive Streamlined SOQ submitted. They will review and score the Streamlined SOQs individually based on the evaluation criteria and submit their scores and comments to the UDOT Contract Administrator. The Administrator will tally and compile the scores and comments. The RFQ Selection Team will then meet to discuss the SOQs and comments from individual RFQ Selection Team members and determine whether interviews are necessary or whether the selection may be made based on the averaged scores from the Streamlined SOQs. Final Streamlined SOQ score results are the average of voting RFQ Selection Team members' scores.

Most Streamlined RFQ selections will be based on the Streamlined SOQ scores. However, if the RFQ Selection Team determines it is necessary to have interviews in order to make a selection, the members will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection - Interview Format Worksheet* found on the web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

Selection Interviews:

The Streamlined RFQ is intended to reduce the level of effort required to compete for and administrate the selection process. Interviews are anticipated to take place rarely (i.e. in the event the first place ranking is a tied score of two or more firms, or other extenuating circumstances).



**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

If the RFQ Selection Team determines interviews are necessary, examples of project-specific topics may include such issues for discussion as:

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of Project

“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms). See the form for more information regarding this process.

Summary:

The Streamlined SOQ should be clear, concise, and it should provide the RFQ Selection Team Members with an understanding of the proposed Consultant Team’s ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

Rev. 6/10/2013

## Appendix B

### Proposed Key Personnel to Be Used On UDOT Project

| <b>Name</b> | <b>Firm Name</b> | <b>Title</b><br>(Proposed on project) | <b>Certification</b><br><b>Category/Level</b> | <b>Utah License/</b><br><b>Certification No.</b> | <b>Other State</b><br><b>License/</b><br><b>Certification No.</b> | <b>Education Level</b> |
|-------------|------------------|---------------------------------------|-----------------------------------------------|--------------------------------------------------|-------------------------------------------------------------------|------------------------|
|             |                  |                                       |                                               |                                                  |                                                                   |                        |
|             |                  |                                       |                                               |                                                  |                                                                   |                        |
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|             |                  |                                       |                                               |                                                  |                                                                   |                        |
|             |                  |                                       |                                               |                                                  |                                                                   |                        |

- Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.
- If a Consultant has a change in key personnel during a project, they are required to submit the proposed change in writing within 10 working days to the UDOT Project Manager (and Local Government, if applicable) for approval. If the Project Manager (PM) approves, the PM will forward the change and their approval to UDOT Consultant Services and the Comptroller's Office within 10 working days. If the PM does not approve, they may request a revision of the proposal, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website [www.udot.utah.gov/go/csforms](http://www.udot.utah.gov/go/csforms).

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

## **Appendix C**

### **Scope of Work**

**Overview:** UDOT has obtained funding to design and construct passing lanes on US-6 between mileposts 256 and 300. A preliminary study was completed to identify passing lane locations (see attached “US-6 Passing Lanes Final Report”). With this project we will likely have funding to do 2 or 3 of the identified passing lanes. We are seeking a design consultant to perform the preliminary engineering for this project.

**Work to be Performed:** Consultant will design and prepare necessary documents to bid the project by the due date (approximately one year to advertisement). The effort will include but is not limited to the following:

**Perform Preliminary Design:** Consultant will complete the roadway design including hydraulics, signing, safety features, striping, geotech, and supplemental survey of the area. The Department will prepare the pavement design.

**Environmental Clearance:** Coordinate with UDOT staff to ensure all environmental permits and clearances are obtained. This is a State funded project, and will require a State environmental document. The consultant will provide needed expertise and input to prepare this document.

**Right of Way Document Preparation:** Prepare all the Descriptions and Documentation needed to precede with the acquisition of the Right of Way (ROW) properties, if needed.

**Coordinate with Stakeholders:** Consultant will coordinate through the UDOT Project Manager with the major stakeholders in the area.

**Utility Identification and Railroad Coordination:** Identify all potential conflicts with utilities and the railroad. Recommend any relocation needs, and assist UDOT in coordination efforts. Assist in preparing any needed agreements.

**File Location:** Use the UDOT ProjectWise system for all project documentation during all stages of project development.

**UDOT Design Network Tasks:** The consultant will be involved with the following 2011 Design network tasks, as a whole or in part. Microsoft Project will be used to manage the project schedule.

#### **Project Scoping Stage**

1V1 -- Kickoff Meeting

1B1 -- Develop Base Mapping

1J1 -- Identify Existing Right-of-Way

1G1 -- Conduct Preliminary Geotechnical Investigation

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

1Y2 -- Develop Project Design Criteria  
1R1 -- Develop Roadway Scope  
1A1 -- Assess Project Aesthetics and Landscape  
1Z3 -- Develop Draft Transportation Management Plan  
2U1 -- Utility Identification  
1Z4 -- Hold Right-of-Way Strategy Meeting  
1Y1 -- Prepare/ Compile Scoping Package  
1Q1 -- Assess Existing Roadway Drainage Conditions  
1T1 -- Assess Capacity and Safety Needs  
1C1 -- Assess ITS (ATMS) Needs  
1P1 -- Develop initial Public Involvement Plan  
1Z5 -- Set Preliminary Design Activity Hours and Durations  
1E1 -- Review Project Environmental Commitments  
4E1 -- Prepare/ Submit Permits  
1V2 -- Scoping Meeting

Geometry Stage

2Y1 -- Prepare/ Compile Geometry Package  
2Q1 -- Develop Initial Roadway Drainage  
2R1 -- Model Initial Roadway Design  
2Q2 -- Develop Initial Irrigation Design  
2T1 -- Develop Initial Capacity Analysis  
2A1 -- Complete Conceptual Aesthetic & landscape Design  
2E1 -- Analyze Environmental Resources  
3U1 -- Identify Potential Utility Conflicts  
3U2 -- Initial Design Utility coordination  
3U3 -- Identify Utility Depth (SUE Level A)  
3Z3 -- Obtain CM Consultant  
4P1 -- Revise/Implement Public Involvement Plan  
J1A -- Identify Right-of-Way needs  
J2A -- Develop Right-of-Way Plans & Documents  
4B1 -- Obtain Supplemental Surveys

Plan in Hand Stage

3Y1 -- Prepare/ Compile Plan in Hand Package  
3R1 -- Complete Roadway Design  
3R2 -- Complete Signing & Striping Design  
3R3 -- Complete Signal and Lighting Design  
3Q1 -- Complete Roadway Drainage  
3Q2 -- Complete Irrigation Design  
3T1 -- Finalize Capacity Analysis  
3A1 -- Complete Aesthetic & Landscape Design  
3U4 -- Complete Utility Design  
K1A -- Conduct Final Right-of-Way Review  
3V1 -- Plan in Hand Meeting

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

PS&E Stage

- 4U2 -- Final Design Utility Coordination
- 4U3 -- Complete Utility & Documents
- 4Y1 -- Prepare / Compile PS&E Package
- 4R1 -- Complete Roadway Plans & Documents
- 4R2 -- Complete Signing & Striping Plans & Documents
- 4R3 -- Complete Signal and Lighting Plans & Documents
- 4Q1 -- Complete Drainage/ Irrigation Plan Sheets & Documents
- 4A1 -- Complete Erosion & Sediment Control Plans & Documents
- 4A2 -- Complete Aesthetics & Landscape Plans and Documents
- 4Z1 -- Finalize Transportation Management Plan (TMP)

Advertising Stage

- 4V1 -- Plans Specifications & Estimate (PS&E) Meeting
- 5Y1 -- Incorporate PS&E Review Comments
- 5V1 -- Comment Resolution Meeting
- 5Z2 -- Prepare & Process for Advertisement
- 5A1 -- Prepare SWPPP Package for Construction

***Schedule:*** The proposed schedule is 12 months to perform the preliminary engineering and to submit this project for advertisement.

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

## **Appendix D**

### **Additional Information**

#### **QC/QA Plan Requirements:**

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site [www.udot.utah.gov/go/qcqa](http://www.udot.utah.gov/go/qcqa)
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

#### **UDOT Reference Items:**

- UDOT CADD use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS)).
- UDOT Construction Manual of Instruction (available online at the UDOT Web site [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).
- UDOT Consultant Services Manual of Instruction (available on-line at the UDOT Web site [www.udot.utah.gov/go/CSManuals](http://www.udot.utah.gov/go/CSManuals)).
- UDOT Drainage Manual of Instruction (available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).
- UDOT Environmental Process Manual of Instruction (available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).
- Other UDOT manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at [www.udot.utah.gov/go/ETS](http://www.udot.utah.gov/go/ETS)).
- UDOT Reference Material (available on-line from the UDOT Web site at [www.udot.utah.gov/go/StandardsReferences](http://www.udot.utah.gov/go/StandardsReferences)).
- UDOT Right of Way Design and Operations Manuals (available on-line from the UDOT Web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

- UDOT Roadway Design Manual of Instruction (available on-line from the UDOT web site at [www.udot.utah.gov/go/Manuals](http://www.udot.utah.gov/go/Manuals)).
- UDOT Standards (available on-line from the UDOT Web site at [www.udot.utah.gov/go/2012Standards](http://www.udot.utah.gov/go/2012Standards)).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at [www.udot.utah.gov/go/HighwaySignPolicy](http://www.udot.utah.gov/go/HighwaySignPolicy)).
- UDOT 2013 Strategic Direction & Performance Measures (available on-line from the UDOT web site at [www.udot.utah.gov/go/StrategicDirection](http://www.udot.utah.gov/go/StrategicDirection)).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>).

**UTAH DEPARTMENT OF TRANSPORTATION**  
**Streamlined Request for Qualifications**  
**Project No. S-0006(154)256; US-6, SB Passing Lanes Between MP 256-300**

The Brooks Act of 1972:

Federal Government Selection of Architects and Engineers

**United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works**

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

**§ 1101. Policy** (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

**§ 1102. Definitions** (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
  - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
  - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
  - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

**§ 1103. Selection procedure** (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

**§ 1104. Negotiation of contract** (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.